



DEPARTMENT OF CORPORATIONS

JOB OPPORTUNITY

Arnold Schwarzenegger, Governor

WILLIAM P. WOOD, California Corporations Commissioner

SUNNE WRIGHT MCPEAK, Agency Secretary

Release Date: August 5, 2004

CLASSIFICATION: **CORPORATION EXAMINER**
Will consider **AUDITOR I**
4 Positions - Permanent/Full Time

FINAL FILING DATE: **August 26, 2004 or UNTIL FILLED**

SALARY: \$3746 - \$5229
If Auditor I selected for vacancy, the salary is \$2902-\$3529

POSITION LOCATION: Securities Regulation Division
Los Angeles and San Francisco

DUTIES AND RESPONSIBILITIES – The Securities Regulations Division (SRD) is responsible for the regulation of the offer and sale of securities in the State of California and the licensing and regulation of securities professionals, Capital Access Companies, Broker-Dealers, Broker-Dealer Agents, Investment Advisers and Investment Advisory Representatives. The Corporation's Examiner conducts independent field examinations or investigations of licensed capital access companies, broker-dealer and investment advisers to verify compliance with the California Corporate Securities Law of 1968 and Title 10, Chapter 3 of the California Code of Regulations. Intrastate travel is required. Examinations consist of a review of licensees' financial statements, books and records, investments and capital position to determine soundness of its financial condition, and a review of sale practices to determine whether a licensee is fulfilling its fiduciary responsibilities to clients.

DESIRABLE QUALIFICATIONS

- ◆ Auditing experience.
- ◆ Accounting knowledge.
- ◆ Knowledge of rules and regulations administered by the Securities Regulation Division.
- ◆ Knowledge of personal computers and familiarity of Microsoft Word, Excel and other computer programs.
- ◆ Works well under pressure.
- ◆ Effective communication skills.
- ◆ Good interpersonal skills.
- ◆ Willingness to travel (Intrastate).
- ◆ Willingness to accept additional responsibility.
- ◆ Effective writing skills.

WHO MAY APPLY – EMPLOYEES WHO ARE CURRENTLY AT THE CORPORATIONS EXAMINER OR AUDITOR I LEVEL, THOSE WITHIN TRANSFER RANGE, OR INDIVIDUALS WITH LIST ELIGIBILITY WHO ARE REACHABLE IN THE TOP THREE RANKS) AND EMPLOYEE WITH SURPLUS OR SROA STATUS IN THESE CLASSIFICATIONS ARE ENCOURAGES TO APPLY. For further technical information regarding the position, please contact Maurice Kahmi (for Los Angeles positions) at (213) 576-7587 or CALNET 8-649-7587 or Sandra Ramayla (for San Francisco positions) at (415) 972-8580 or CALNET 8-539-8580. **PLEASE SEND A COMPLETED APPLICATION TO THE PERSON AND ADDRESS PROVIDED BELOW.** (Please include your social security number for eligibility verification and indicate **RPA #SRD 04-xxx** under the job title).

SUBMIT APPLICATION AND RESUME TO:

Department of Corporations
Human Resources Office
Attention: Linda Tessmer (#SRD-04-xxx)
1515 K Street, Suite 200
Sacramento, CA 95814
(916) 324-6271 or CALNET 8-454-6271

RPA #SRD 04-xxx cm

AN EQUAL OPPORTUNITY EMPLOYER - EQUAL OPPORTUNITY TO ALL REGARDLESS OF RACE, COLOR, CREED, NATIONAL ORIGIN, ANCESTRY, SEX, MARITAL STATUS, DISABILITY, RELIGIOUS OR POLITICAL AFFILIATION, AGE OR SEXUAL ORIENTATION.